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Rev. 04/01

Docket No. NOVA-014



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Lo et al.

Application No. : 09/871,229

Filed : May 31, 2001

For : SURFACE-EMITTING LASER DEVICES WITH  
INTEGRATED BEAM-SHAPING OPTICS AND  
POWER-MONITORING DETECTORS

Examiner : Unassigned

Hon. Commissioner  
for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER FOR  
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted:

- within three months of the application filing date;
- more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Commissioner is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account

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No. 06-1075. A duplicate copy of this letter is transmitted herewith.

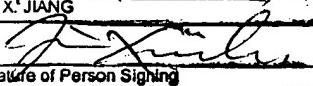
Respectfully submitted,



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COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231, ON

09-21-2001  
LILY X. JIANG  
  
Signature of Person Signing

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PATENTS  
NOVA-014

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Serial No. : 09/871,229  
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Examiner : Unassigned

Hon. Commissioner  
for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98,  
applicants hereby make the following documents of record in  
the above identified application:  
\*  
the above identified application:

U.S. Patents

Liau et al.	4,718,070	06/1988
Liau et al.	4,935,939	06/1990

Other Publications

Z. L. Liau, J. N. Walpole, "Surface-emitting  
GaInAsP/InP laser with low threshold current and high  
efficiency", Applied Physics Letters, vol. 46, no. 2,  
pp. 115-117, 1985.

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\* Applicants reserve the right to challenge the status of any  
of the cited documents as prior art.

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H. Saito, Y. Noguchi, "A reflection-type surface-emitting 1.3 μm GaInAsP/InP laser array with microcoated reflector", Japanese Journal of Applied Physics, vol. 28, pp. L1239-L1241, 1989.

B. Stegmuller, H. Westermeier, W. Thulke, G. Franz, and D. Sacher, "Surface-emitting InGaAsP/InP distributed feedback laser diode at 1.53 μm with monolithic integrated microlens", IEEE Photonics Technology Letters, vol. 3, no. 9, pp. 776-778, 1991.

Copies of the aforementioned documents, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), are enclosed herewith.

It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent that may issue on this application.

Applicants request that a copy of Form PTO-1449 (submitted in duplicate herewith), as considered and initialed by the Examiner, be returned with the next communication.

An early and favorable action is respectfully requested.

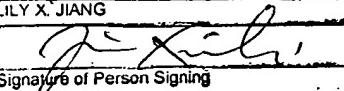
Respectfully submitted,



Michael J. DeHaemer, Jr.  
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